

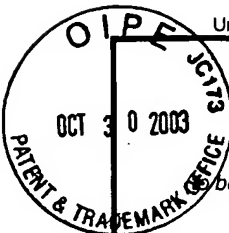
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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

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	Applicati n Numb r	10/626,984
	Filing Date	July 25, 2003
	First Named Inventor	Kawai, et al.
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	013.0207.US.UTL

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <u>7</u> U.S. Patents, <u>1</u> U.S. Patent Application Publication <u>5</u> Non Patent Literature Document Postcard
Remarks <span style="border: 1px solid black; display: inline-block; width: 150px; height: 20px;"></span>		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Law Offices of Patrick J.S. Inouye
Signature	
Date	October 28, 2003

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Mail Stop IDS, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:			
			October 28, 2003
Type or printed name	Larissa V. Pigott		
Signature		Date	October 28, 2003

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kawai, et al.

Serial No.: 10/626,984

Filed: July 25, 2003

Title: System And Method For Performing  
Efficient Document Scoring And  
Clustering

Group Art Unit: Unassigned

Examiner: Unassigned

Attorney Docket No.: 013.0207.US.UTL

Commissioner for Patents  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:



22895

PATENT TRADEMARK OFFICE

This Information Disclosure Statement is submitted:

☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)

☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO 1449-Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The relevance of the attached references is that this is the closest art of which Applicant is aware.

Applicant submits that the above references taken alone or in combination neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read 'Patrick J. S. Inouye', is written over a horizontal line.

Patrick J.S. Inouye  
Attorney/Agent for Applicant(s)  
Reg. No. 40297

Date: October 28, 2003

Telephone No.: (206) 381-3900



OCT 30 2003

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
*(use as many sheets as necessary)*

U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

Examiner  
Signature

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of

the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		<b>Application Number</b>	10/626,984
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		<b>Filing Date</b>	July 25, 2003
		<b>First Named Inventor</b>	Kawai, et al.
		<b>Group Art Unit</b>	Unassigned
		<b>Examiner Name</b>	Unassigned
		<b>Attorney Docket Number</b>	013.0207.US.UTL
Sheet	2	of	2

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cita No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		D. SULLIVAN, "Document Warehousing And Text Mining, Techniques For Improving Business Operations, Marketing, And Sales," Chs. 1-3, Wiley Computer Publishing (2001).	
		LINHUI, JIANG, "K-Mean Algorithm: Iterative Partitioning Clustering Algorithm," <a href="http://www.cs.regina.ca/~linhui/K_mean_algorithm.html">http://www.cs.regina.ca/~linhui/K_mean_algorithm.html</a> , (2001) Computer Science Department, University of Regina, Saskatchewan, Canada.	
		KANUGO et al., "The Analysis Of A Simple K-Means Clustering Algorithm," pp. 100-109, PROC 16th annual symposium of computational geometry (May 2000).	
		PELLEG et al., "Accelerating Exact K-Means Algorithms With Geometric Reasoning," pp. 277-281, CONF on Knowledge Discovery in Data, PROC fifth ACM SIGKDD (1999).	
		JAIN et al., "Data Clustering: A Review," Vol. 31, No. 3, ACM Computing surveys, (September 1999).	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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